State of California

Department of Social Services

County Expense Claim Reporting Information System

(CECRIS)

Special Project Report 3

October 2018

1.0   Executive Project Approval Transmittal

Information Technology Project Request **Special Project Report** **Executive Approval Transmittal**	

Agency/state entity Name			
California Department of Social Services			

Project Title (maximum of 75 characters)			Project Acronym
County Expense Claim Reporting Information System			**CECRIS**

FSR Project ID	FSR Approval Date	State entity Priority	Agency Priority
5180-153	**2/14/2012**	**2**	

I am submitting the attached Special Project Report (SPR) in support of our request for the California Department of Technology's approval to continue development and/or implementation of this project.

I certify that the SPR was prepared in accordance with the State Administrative Manual Sections 4945-4945.2, my Agency/state entity has considered the cost benefits analysis associated with the proposed project changes and the changes are consistent with our information management strategy as expressed in our current Agency Information Management Strategy (AIMS).

I have reviewed and agree with the information in the attached Special Project Report.

I also certify that the acquisition of the applicable information technology (IT) product(s) or service(s) required by my department that are subject to Government Code 7405 applying Section 508 of the Rehabilitation Act of 1973 as amended meets the requirements or qualifies for one or more exceptions (see following page).

APPROVAL SIGNATURES		
Chief Information Officer	**Date Signed**	
Printed name: Brian Wong		
Budget Officer	**Date Signed**	
Printed name: Kären Dickerson		
State Entity Director	**Date Signed**	
Printed name: Will Lightbourne		
Agency Chief Information Officer	**Date Signed**	
Printed name: Adam Dondro		
Agency Secretary	**Date Signed**	
Printed name: Michael Wilkening		

1.1   IT Accessibility Certification

Yes or No

Yes	**The Proposed Project Meets Government Code 7405 / Section 508 Requirements and no exceptions apply.**

Exceptions Not Requiring Alternative Means of Access

Yes or No	Accessibility Exception Justification
No	The IT project meets the definition of a national security system.
Yes	The IT project will be located in spaces frequented only by service personnel for maintenance, repair, or occasional monitoring of equipment (i.e., "Back Office Exception").
No	The IT acquisition is acquired by a contractor incidental to a contract.

Exceptions Requiring Alternative Means of Access for Persons with Disabilities

Yes or No	Accessibility Exception Justification
No	Meeting the accessibility requirements would constitute an "undue burden" (i.e., a significant difficulty or expense considering all agency resources). Explain: The CECRIS currently supports most of the accessibility requirements and the vendor Microsoft has communicated that the rest of the requirements will be met with the upcoming release of the underlying platform Microsoft Dynamics 365.
Yes	No commercial solution is available to meet the requirements for the IT project that provides for accessibility. Explain: Describe the alternative means of access that will be provided that will allow individuals with disabilities to obtain the information or access the technology.

Exceptions Requiring Alternative Means of Access for Persons with Disabilities

Yes or No	Accessibility Exception Justification
No	No solution is available to meet the requirements for the IT project that does not require a fundamental alteration in the nature of the product or its components. Explain: Describe the alternative means of access that will be provided that will allow individuals with disabilities to obtain the information or access the technology.

INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE

2.0   Information Technology: Project Summary Package

2.1   Section A: Executive Summary

1.	Submittal Date	10/1/2018

		SPR	**PSP Only**	**Other:**
2.	Type of Document	X		
	Project Number	5180-153		

			Estimated Project Dates	
			Start	**End**
3.	Project Title	County Expense Claim Reporting Information System		
	Project Acronym	CECRIS	1/10/2013	9/29/2021

4.	Submitting Agency/state entity	Department of Social Services
5.	Reporting Agency/state entity	Health and Human Services Agency

6.	Project Objectives
	The primary CECRIS project goals are: 1. Provide a single integrated system that supports end-to-end processing of the County Expense Claim (CEC) and County Assistance Claim (CA 800) processes to fully meet the business needs. 2. Create a flexible and expandable system to accommodate federal and state mandated modifications and reporting requirements. 3. Comply with federal and state program guidelines and standard accounting principles. 4. Comply with state IT and security standards. 5. Meet the CECRIS S-M-A-R-T objectives.

7.	Proposed Solution
	The proposed solution remains unchanged from SPR 2, to build an end-to-end claiming system to replace the CA 800 and CEC legacy applications with existing CDSS shared Enterprise technology components.

INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE

8.	Major Milestones	Est Complete Date
	SPR 2 Approval	April 1, 2016
	Procurement – Organizational Change Management (OCM)	August 15, 2016
	Procurement – Financial Systems Auditor (FSA)	October 13, 2016
	Implementation Advanced Planning Document (IAPD) Approval	December 22, 2016
	To-Be End-To-End Process Analysis/Requirements	January 31, 2017
	Project Management Plans Baselined	May 17, 2017
	Procurement – Solution Vendor (SV)	September 6, 2017
	Business Requirement Validation	October 5, 2017
	Initial System Design	October 17, 2017
	Procurement – User Training Vendor	April 1, 2018
	Program Code Request Form (First Module) Development	June 29, 2018
	Procurement – County SME	December 1, 2018
	Procurement – Business Systems Analyst	December 1, 2018
	Re-Procurement IV&V	January 1, 2019
	CA 800 Upload Feature/Initial Portal Launch	February 26, 2019
	CEC Minimum Viable Product Development Complete	August 12, 2020
	CEC Minimum Viable Product Features Launch	December 7, 2020
	CA 800 Minimum Viable Product Features Development Complete	October 22, 2020
	CA 800 Minimum Viable Product Features Launch	April 19, 2021
	Pilot Rollout	June 1, 2021
	Full Rollout (System Implementation)	August 24, 2021
	Project Closeout	September 29, 2021
	Post Implementation Evaluation Report	December 22, 2022

2.2   Section B: Project Contacts

Project #	5180-153
Doc. Type	SPR

Executive Contacts						
	First Name	**Last Name**	**Area Code**	**Phone #**	**Area Code**	**Fax #**	**E-mail**
Agency Secretary	Michael	Wilkening	916	654-3454			Michael.Wilkening@chhs.ca.gov
State Entity Director	Will	Lightbourne	916	657-2598	916	651-6569	Will.Lightbourne@dss.ca.gov
Budget Officer	Kären	Dickerson	916	651-6562	916	654-0877	Karen.Dickerson@dss.ca.gov
CIO	Brian	Wong	916	654-0692	916	651-8280	Brian.Wong@dss.ca.gov
Project Sponsor	Kären	Dickerson	916	651-6562	916	654-0877	Karen.Dickerson@dss.ca.gov

Direct Contacts						
	First Name	**Last Name**	**Area Code**	**Phone #**	**Area Code**	**Fax #**	**E-mail**
Doc. prepared by	Steve	Li	916	651-5568	916	651-7750	Steven.Li@dss.ca.gov
Primary Contact	Steve	Li	916	651-5568	916	651-7750	Steven.Li@dss.ca.gov
Project Manager	Steve	Li	916	651-5568	916	651-7750	Steven.Li@dss.ca.gov

INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE

2.3   Section C: Project Relevance to State and/or Agency/State Entity Plans

1.	What is the date of your current Technology Recovery Plan (TRP)?	Date	7/2018	Project #	5180-153
2.	What is the date of your current Agency Information Management Strategy (AIMS)?	Date	12/2017	Doc. Type	SPR
3.	For the proposed project, provide the page reference in your current AIMS and/or strategic business plan.	Doc.	AIMS		
		Page #	30		

		Yes	No
4.	Is the project reportable to control agencies?	X	
	If YES, CHECK all that apply:		
X	a) **The project involves a budget action.**		
	b) **A new system development or acquisition that is specifically required by legislative mandate or is subject to special legislative review as specified in budget control language or other legislation.**		
X	c) **The estimated total development and acquisition costs exceed the Department of Technology's established Agency/state entity delegated cost threshold and the project does not meet the criteria of a desktop and mobile computing commodity expenditure (see SAM 4989 – 4989.3).**		
	d) **The project meets a condition previously imposed by the Department of Technology.**		

2.4   Section D: Budget Information

Project #	5180-153
Doc. Type	SPR

BUDGET AUGMENTATION REQUIRED?		
No		
Yes	X	If YES, indicate fiscal year(s) and associated amount:

FY	2011-2018	FY	2018/19	FY	2019/20	FY	2020/21	FY	2021/22	FY	2022/23
	-$1,387,118		$1,938,774		$3,127,302		$3,192,156		$832,710		$44,228

PROJECT COSTS

Fiscal Year	2012-2015	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21	2021-22	2022-23	TOTAL
One-Time Cost	$992,270	$430,676	$1,136,110	$2,535,282	$5,524,789	$5,504,055	$5,474,793	$1,400,932	$0	**$22,998,906**
Continuing Costs	$0	$0	$0	$0	$0	$0	$0	$564,000	$420,228	**$984,228**
TOTAL PROJECT BUDGET	$992,270	$430,676	$1,136,110	$2,535,282	$5,524,789	$5,504,055	$5,474,793	$1,964,932	$420,228	**$23,983,135**

PROJECT FINANCIAL BENEFITS

Fiscal Year	2012-2015	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21	2021-22	2022-23	TOTAL
Cost Savings/Avoidances	$0	$0		$0	$0	$0	$0	$0	$0	$0
Revenue Increase	$0	$0		$0	$0	$0	$0	$0	$0	$0

		Project #	5180-153
Vendor Cost for SPR Development (if applicable)	$	**Doc. Type**	**SPR**
Vendor Name			

2.5 Section E: Vendor Project Budget

Fiscal Year	2012-2015	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21	2021-22	2022-23	TOTAL
Primary Vendor Budget	$0	$0	$0	$570,343	$1,092,960	$1,161,600	$1,161,600	$290,400	$0	**$4,276,903**
Independent Oversight Budget	$0	$103,432	$112,560	$112,560	$200,000	$200,000	$200,000	$50,000	$0	**$978,552**
IV&V Budget	$63,250	$29,750	$34,438	$119,063	$120,000	$120,000	$120,000	$30,000	$0	**$636,501**
Other Budget	$319,556	$0	$356,338	$513,859	$1,605,641	$1,664,328	$1,664,328	$416,082	$0	**$6,540,132**
TOTAL VENDOR BUDGET	$382,806	$133,182	$503,336	$1,315,825	$3,018,601	$3,145,928	$3,145,928	$786,482	$0	**$12,432,087**

PRIMARY VENDOR HISTORY SPECIFIC TO THIS PROJECT

7.	**Primary Vendor**	Trinity Technology Group, Inc.
8.	**Contract Start Date**	07/14/2017
9.	**Contract End Date (projected)**	11/30/2019
10.	**Amount**	$2,194,060

PRIMARY VENDOR CONTACTS

	Vendor	First Name	Last Name	Area Code	Phone #	Ext.	Area Code	Fax #	E-mail
11.	Trinity Technology Group Inc.	Sean	Mahon	916	296-1605				smahon@trinitytg.com

		Project #	5180-153
		Doc. Type	**SPR**

2.6   Section F: Risk Assessment

	Yes	No
Has a Risk Management Plan been developed for this project?	X	

General Comment(s)
Risk and Issue Assessment/Management is accomplished utilizing CA-PMM guidelines and includes five processes: identify, analyze, plan, implement, and track and control. The Project Manager involves the entire Project Team to identify risks by conducting activities such as brainstorming sessions and team member interviews. Information from schedule management activities is also used to identify risks. Risks are monitored and controlled by the Risk Manager using the Risk Register that is maintained in SharePoint. Risk owners develop detailed action plans to implement risk mitigation strategies. The Project Manager then assesses the risk to determine if the mitigation strategy is appropriate for the severity of the risk. If needed, risk mitigations, contingencies, and measurements will be revised based on the review. The Risk Register is reviewed weekly and updated as needed; it is used to monitor high and medium risks at the weekly risk/issues meetings. Any high and medium risks will continue to be reviewed quarterly with the Executive Steering Committee.

3.0   Proposed Project Change

The County Expense Claim Reporting Information System (CECRIS) project is submitting this Special Project Report (SPR) 3 to report changes to the project schedule, budget, and scope.

Since the SPR 2 approval, the project has identified additional features to fully meet the business needs and state and federal regulations. These features include the Program Request Form, which was supported by a stand-alone and aging application; bi-directional data exchange with the Child Welfare Services – California Automated Response and Engagement System (CWS-CARES); and the interface with the Financial Information System for California (FI$CAL), the new statewide accounting system. The project's timeline is also extended to include an all-county test period to enable more thorough testing and efficient data continuity between the legacy system and CECRIS.

In addition, the project has switched from the traditional Waterfall development model to the Agile Scrum framework, an industry proven methodology that results in earlier delivery of production components and higher quality. While all appropriate stakeholders believe that the adoption will provide long term benefit, it has caused some short-term delays such as Agile training for the staff and time needed to formulate and implement the process.

Throughout the project, CDSS as an organization has continued to mature in project management and Agile as a professional discipline, and in doing so, has identified the need for additional resources for testing, business analysis and an automated testing tool. Lastly, due to the complexities required in the Invitation for Bid procurement process to solicit for an appropriate solution vendor, the vendor onboarded on September 6, 2017, 12 months after the initial projected start date.

The proposed changes in this SPR are necessary to ensure to the Department's delivery of a CECRIS solution that fully meets the business needs, as well as state and federal regulations.

3.1   Project Background

The CDSS Accounting and Fiscal Systems Branch within the Administration Division is responsible for the financial oversight and fiscal integrity of the accounting and reporting of data for public assistance programs for the state of California. These public assistance programs are state-supervised, but county-administered through the County Welfare Departments (CWDs). Business processes are supported by the current system which consists of two stand-alone systems, the CEC and CA 800 systems and processes. The goal of CECRIS is to develop and implement an automated solution that replaces the current CEC and CA 800 systems and processes.

The CDSS submitted SPR 2 in January 2016 to propose the current CECRIS solution. The SPR 2 reconciled previous project approaches and solutions presented since the original Feasibility Study Report with the Department's current approved solution to serve as the new project baseline. The SPR 2 was approved on April 1, 2016.

3.2 Project Status

The CECRIS project is currently in the execution phase.   As expected in the execution phase, the project is actively engaged in solution development, and in accordance with the Agile framework, the development is completed iteratively, and requirements gathering, and elaboration and testing are taking place in parallel. As of August 31 2018, the project has expended 52% of the $10.5 million approved budget, and is 21% behind schedule.

Since the approval of SPR 2, the project has progressed and accomplished numerous milestones and key project activities. The milestones and activities are further detailed below, and the milestones completion dates are reflected in the revised project schedule in Section 3.4.1.

Additional detail on key project activities, which includes Major Milestones, completed since the approval of SPR 2 include:

- **Hiring of the Technical Team** – CDSS submitted a Budget Change Proposal (BCP) for IT staff augmentation of two permanent Information Technology Specialist I positions (classified as Systems Software Specialist IIs prior to the 2018 State of California IT reclassification). The IT Specialist I staff came onboard on February 21, 2017 and June 30, 2017.
- **Procurement of the Solution Vendor** – In collaboration with Statewide Technology Procurements of California of Department of Technology, awarded the contract to Trinity Technology Group via the Invitation for Bid process. The three vendor staff came onboard in September 2017.
- **System Architecture** – Refined and implemented initial system architecture.
- **Initial Business Module Development** – Completed development of the first module – Program Request Form and was successfully launched on June 29, 2018.
- **Procurement of the Organization Change Management (OCM) Vendor** – Highlands Consulting Group LLC was awarded the contract through the Request for Offer process. A Master Service Agreement was leveraged for the contract executed on July 26, 2016.
- **Procurement of the Financial System Auditor (FSA) Vendor** – Alexan International, Inc. was procured through the Request for Offer process. A Master Service Agreement was leveraged for the contract executed on October 6, 2016.
- **Procurement for OCM and FSA** – Due to Master Service Agreement expiration, new procurements were completed to continue the consulting services. New contracts were executed on March 5, 2018.
- **Addition of Full-time Testers** – Through existing Trinity Technology Group contract, a full-time tester came onboard in January 24, 2018. In addition, a new contract was procured for two additional testers effective June 29, 2018.
- **Implementation Advanced Planning Document (IAPD) Approval** – The CECRIS project received IAPD approval from CDSS' federal cognizant agency, the Administration for Children and Families (ACF), on December 21, 2016. The approval authorizes approximately 60 percent federal funding for the project.
- **Collaboration with Child Welfare Digital Services (CWDS)** – After the approval of the IAPD, CDSS learned that CECRIS would have to comply with federal Comprehensive Child Welfare Information System (CCWIS) regulations, which require CECRIS to support bi-directional data exchange with the state's new CCWIS system, CWS-CARES, sometime beyond federal fiscal year (FFY) 2018. To prevent duplicate data collection between the

systems, the two projects are executing a collaborative approach that is a combination of scheduled touch-points and as-needed discussions.

- **Agile Training and Preparation** – CDSS is following the State of California's adoption of the Agile methodology for information technology projects. The CECRIS project has formally decided to adopt the Agile Scrum as the primary framework for the solution development which provides the opportunity for more frequent functionality completion compared to the traditional "Waterfall' approach, while also reducing project risk associated with changing business requirements. The CECRIS Management Team, project team and core subject matter experts engaged in Agile training and various activities that support and enhance user and stakeholder collaboration.
- **Procurement of a Business Systems Analyst (BSA)** – CDSS procured the services of a BSA. The BSA will act as a liaison between the business area and technical area by planning, conducting, and directing the analysis of highly complex business problems to be solved with CECRIS application.
- **Procurement of a Trainer** – The existing OCM contract was augmented for training services. Subsequent business modules will impact users from 58 counties, and the project is planning multiple incremental releases instead one release at the end of the project. Therefore, increased and earlier trainer involvement are needed to train county staff.
- **Automated Testing Tool** – CDSS procured AppVance, an enterprise automated testing tool. This tool will improve the quality of CECRIS and streamline the testing effort at the same time.
- **Hiring of the Project Director** – CDSS onboarded the Project Director on September 4, 2018. The Project Director oversees the performance and operations of the CECRIS project.

3.3   Reason for Proposed Project Change

3.3.1 Reason for Schedule Change

The project experienced a delay in the procurement of the SV that impacts the schedule and the estimated system implementation date. The CDSS consulted with state oversight entities to select the best procurement method for the CECRIS solution. Since the state owns the technical solution, an Invitation for Bid (IFB) was chosen as the most appropriate procurement method, rather than a Request for Offer (RFO) as originally planned, to solicit the most qualified SV. As result of the IFB decision, assistance from the Statewide Technology Procurement Division of CA Department of Technology was needed to guide and facilitate the procurement. The switch in procurement support and the realignment of the procurement documents caused a 12-month delay to the approved estimated onboarding date of the SV.

With the addition of the Program Request Form (PRF) module to the scope, based on the current understanding of the business requirements, the project estimates additional development time is needed.

The schedule has been modified to include two quarters of pilot for an initial set of selected counties as planned in SPR 2 based on the business cycle, followed by a quarter-long all-county test period.

In addition, the project has switched from the traditional Waterfall development model to the Agile Scrum framework, an industry proven methodology that results in earlier delivery of production components and higher quality. While all appropriate stakeholders believe that the

adoption will provide long term benefit, it has caused some short-term delays due to the learning curve.

Identifying skill gaps for business analysis and testing, as well as securing resources with expertise in the areas, along with the lack of an automated testing tool also extended the schedule.

Additional detail can be found in Section 3.4.1 Proposed Schedule Change.

3.3.2 Reason for Scope Change

The project scope has added a business feature since SPR 2 approval to fully meet the business needs. Further business analysis and requirement discovery conducted during the To-Be End-To-End Process Analysis/Requirements (completed January 2017) yielded revamped or new business requirements.

Compliance with state and federal regulations caused the proposed scope further expansion.

Additional detail can be found in Section 3.4.2 Proposed Scope Change.

3.3.3 Reason for Budget Change

Due to the revised schedule, and the Agile Scrum adoption, additional funding is also needed for the following:

- Increased OCM vendor participation
- Dedicated County Subject Matter Expert (SME) participation for part of the development (CEC)
- New budget for testing tool and consultant service for tool adoption
- Addition of state SMEs
- New budget for Business Systems Analyst
- Increased budget for Independent Project Oversight Consultant (IPOC)
- Additional budget for trainer
- Additional Testers/Quality Assurance
- Additional budget for testing tool licenses
- Additional developer

Additional PYs have been redirected for:

- Product Owner
- Scrum Master
- Project Director

Additional detail can be found in Section 3.4.3 Proposed Budget Change.

3.4 Proposed Project Change

The CECRIS project is reporting proposed changes to the approved SPR 2 with respect to the proposed schedule, scope and budget. The proposed changes will ensure that the project can deliver the approved solution that will address the major business problems challenging CDSS with its current CEC and CA 800 systems and meet the approved project goals approved in SPR 2.

3.4.1 Proposed Schedule Change

SPR 3 proposes a revised schedule because of the changed detailed in Section 3.3.1. Table below provides a high-level summary of the revised schedule.

SUMMARY OF REVISED SCHEDULE

Major Milestones	SPR 2 Approved Completion Dates	Actual and Proposed Completion Dates
SPR 2 Approval	February 1, 2016	April 1, 2016
Procurement – Organizational Change Management (OCM)	N/A*	August 15, 2016
Procurement – Financial Systems Auditor (FSA)	N/A*	October 13, 2016
Implementation Advanced Planning Document (IAPD) Approval	October 5, 2016	December 22, 2016
To-Be End-To-End Process Analysis/Requirements	October 3, 2016	January 31, 2017
Project Management Plans Baselined	April 18, 2016	May 17, 2017
Procurement – Solution Vendor (SV)	September 8, 2016	September 6, 2017
Business Requirement Validation	January 5, 2017	October 5, 2017
Initial System Design	April 4, 2017	October 17, 2017
Procurement – User Training Vendor	N/A*	April 1, 2018
Program Code Request Form (First Module) Development	N/A*	June 29, 2018
Testing (Integration & User Acceptance Testing)	August 1, 2018	N/A**
Procurement – County SME	N/A*	December 1, 2018
Procurement – Business Systems Analyst	N/A*	December 1, 2018
Re-Procurement IV&V	N/A*	January 1, 2019
CA 800 Upload Feature/Initial Portal Launch	N/A*	February 26, 2019
CEC Minimum Viable Product Development Complete	N/A*	August 12, 2020

Major Milestones	SPR 2 Approved Completion Dates	Actual and Proposed Completion Dates
CEC Minimum Viable Product Features Launch	N/A*	December 7, 2020
CA 800 Minimum Viable Product Features Development Complete	N/A*	October 22, 2020
CA 800 Minimum Viable Product Features Launch	N/A*	April 19, 2021
Pilot Rollout	December 28, 2018	June 1, 2021
Full Rollout (System Implementation)	January 30, 2019	August 24, 2021
Project Closeout	March 21, 2019	September 29, 2021
Post Implementation Evaluation Report	June 12, 2020	December 22, 2022

 * Added after the SPR 2 approval.
**Testing (Integration & User Acceptance Testing) will now be conducted on an ongoing basis as customary in the Agile process.

3.4.2 Proposed Scope Change

Proposed changes to the project scope are either due to further requirements discovery during the To-Be End-to-End Process Analysis/Requirements Analysis, or due to new state and federal regulations.

Proposed adjustment to the scope because of the To-Be End-To-End Process Analysis/Requirements Analysis and customer needs prioritization include:

- **Program Request Form (PRF)** – The purpose of this PRF process is to document various aspects of a new or changing CDSS program so that the appropriate claim template can be established for counties to use to be reimbursed for program related expenditures. Historically, only the Administrative claim template (CEC) used the PRF process. With the implementation of CECRIS, the PRF process will be used for both Administrative and Assistance claims. Incorporating the PRF process into CECRIS will help support timely completion of the PRF which is critical to ensure the claim template is ready for the appropriate claiming period.

- **Data Migration** – SPR 2 proposed migrating three years of summary data from the legacy system to CECRIS, primarily for the purpose of calculating payment advances and to allow users to conduct historical and trend analyses. To reduce the challenges normally associated with data migration, end users will conduct the advance calculations outside of CECRIS until the three years of historical data is captured in CECRIS, and any adjustments to claims originally processed in the legacy (FoxPro) system will be made in FoxPro, including close-out adjustments To further meet the historical needs of the county users, nine years of historical data will be held in a repository to allow state and county users to perform trend analysis. The CDSS has agreed on a business process in collaboration with the counties to ensure data continuity. The current maintenance model of the legacy system will remain in place.

Proposed additions to the scope to comply with state and federal regulations include:

- **Child Welfare Services – California Automated Response and Engagement System (CWS-CARES)** – The federal government mandated compliance with Comprehensive Child Welfare Information System (CCWIS) regulations as a condition of the approval of the IAPD. This resulted in the need for CECRIS to support and plan bi-directional data exchange with CWS-CARES for Title IV-E data. To prevent duplicate data collection between the systems, the two projects are executing a collaborative approach that is a combination of scheduled touch-points and as-needed discussions. The bi-directional data exchange is currently scheduled sometime beyond federal fiscal year (FFY) 2018.

- **Financial Information System for California (FI$Cal)** – FI$Cal went live for CDSS on July 1, 2018; therefore, CECRIS data will be sent to FI$Cal to complete payments to County Welfare Departments.

The CECRIS, CWS-CARES and FI$Cal are in the process of being built with modern, standard technologies, therefore, data sharing with the systems is anticipated to cause minimum project schedule impact. The exact extent of the impact is currently unknown.

3.4.3 Proposed Budget Change

The proposed budget change increases the budget approved in SPR 2 from $10.5 million to $23.98 million.

Summary of Budget Change from SPR 2 to SPR 3

Budget Item	SPR 2 Approved (In Millions)	SPR 3 Proposed (In Millions)	Reason
Solution Vendor	$2.6	$4.28	Addition of a tester and a developer; extension of project schedule
OCM	$0.42	$1.25	Increased OCM vendor participation; extension of project schedule
Financial Systems Auditor	$0.46	$0.58	Extension of project schedule
IPOC	$0.42	$0.98	Extension of project schedule
IV&V	$0.45	$0.64	Extension of project schedule
Procurement Support	$0.53	$0.72	Increased Procurement

Budget Item	SPR 2 Approved (In Millions)	SPR 3 Proposed (In Millions)	Reason
			Support for the SV IFB
Business Systems Analyst		$0.93	Assist and advise business analysts
Testers		$1.65	Augment testing capacity
Trainer		$1.03	Conduct user training
County SME		$0.48	Dedicated County SME participation for part (CEC) of the development
Auto Testing Consultant		$0.20	Increase product quality
Software Licenses	$0.42	$0.55	Added auto testing software purchase
Hardware	$0.009	$0.01	
CDSS Staff and Overhead	$5.29	$10.94	Addition of Project Director, Product Owner, Scrum Master, and 2 state SMEs; Extension of project schedule
Total Project Cost	**$10.58**	**$23.98**	

3.4.4 Impact of Proposed Change on the Project

With the end user needs as the project's focus, quality remains the top priority for the project. The changes proposed comprise a two-prong adjustment for quality. First is the adoption of the Agile Scrum framework, an industry proven approach that puts business value at the forefront of all project effort. It encourages and incorporates end user involvement by providing transparency, and as a result, generates more customer ownership and buy-in. Adding the necessary SMEs, testers, Scrum Master, Project Director and Product Owner ensures the project will realize the full benefit of Agile. Second is extending the project timeline based on the development experience gained so far to allow for sufficient time for a more comprehensive and quality end-product.

3.4.5 Feasible Alternatives Considered

There are no changes from the alternatives identified in the FSR.

3.4.6 Implementation Plan

As noted earlier, the CECRIS project is proposing a revised project schedule that identifies a realistic estimate of activities, tasks, and timeframes. The updated project schedule changes will be implemented utilizing the baselined processes and procedures outlined in the CECRIS Schedule Management Plan. The schedule has also incorporated essential Agile Scrum elements such as sprints, features and continuous testing.

The project will continue to be funded with a combination of general funds and federal funds based on the approved Capital Allocation Plan. The project will not be requesting additional state operations funding, i.e. no further BCP request. However, the project will request additional contract funding through the annual local assistance premise process. To ensure the continuation of federal fund participation for the costs identified in this SPR, the state will continue to submit the appropriate annual Advanced Planning Documents (APDs) to ACF, the cognizant agency that approved the Implementation APD in December 2016.

4.0   Updated Project Management Plan

4.1   Project Manager Qualifications

Steven Li remains the CECRIS Project Manager. There have been no changes to Project Manager qualifications since SPR 2.

4.2   Project Management Methodology

The CECRIS is following the State of California's adoption of the Agile methodology for the development of information technology systems. To support the transition, the project is taking a hybrid approach of Waterfall and Agile. When necessary, the project will continue to follow the CA-PMM methodology described in SIMM 17 and the Project Management Body of Knowledge framework and will collaborate with the Independent Project Oversight Consultant (IPOC) to detail this hybrid methodology in the project management plans.

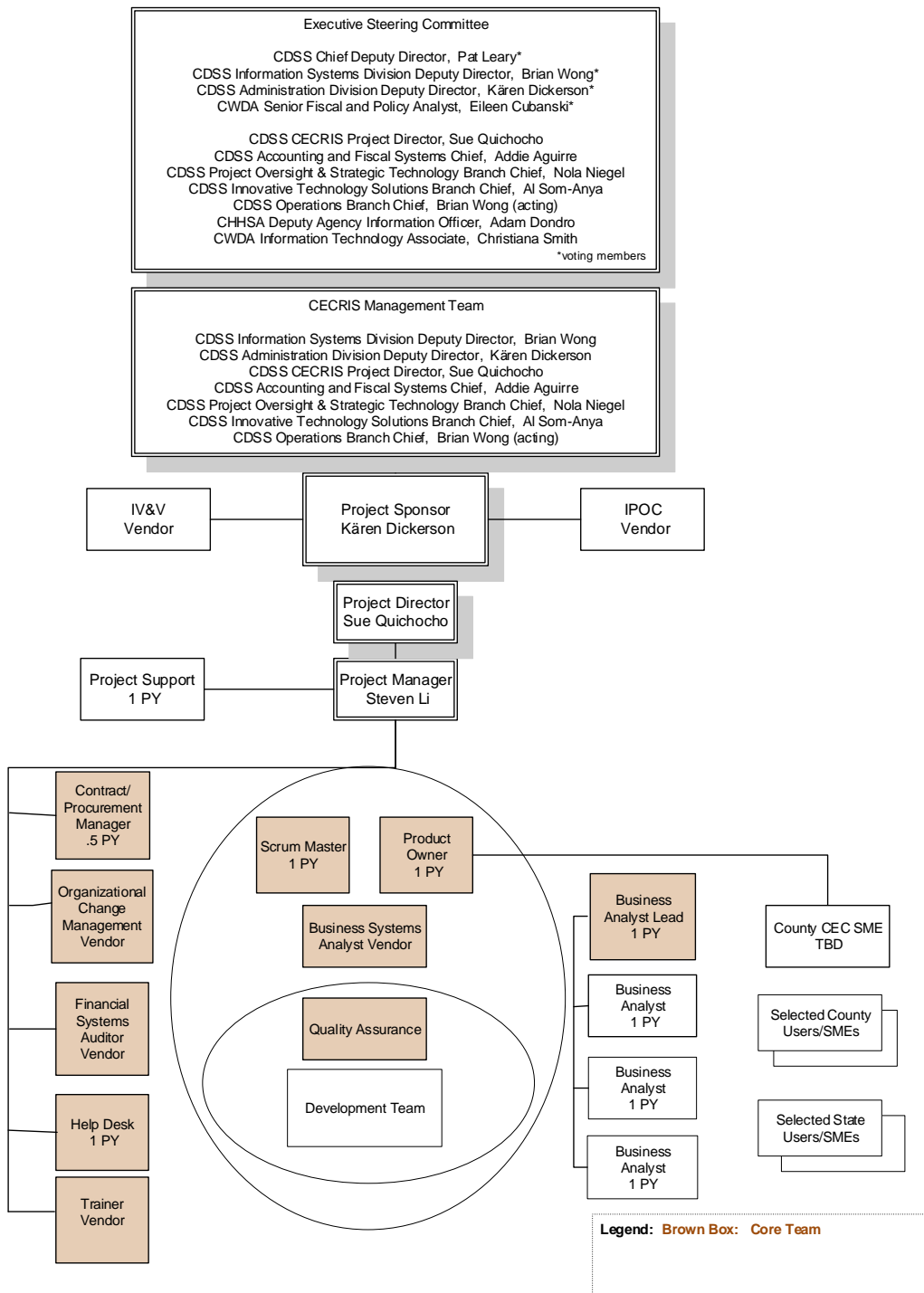Since the approval of SPR 2, all project management plans have been baselined:

- Project Charter
- Executive Steering Committee Charter
- Governance Plan*
- Project Integration Management Plan
- Procurement Management Plan
- Contract Management Plan
- Cost Management Plan
- Risk & Issue Management Plan
- Stakeholder Management Plan
- Communication Plan

- Team Management Plan*
- Schedule Management Plan
- Quality Management Plan*

*The project will update the plans with asterisks to reflect the adoption of the Agile methodology.

4.3 Project Organization

Both the project organization chart and the roles and responsibilities have been updated below to reflect Agile adoption.

Executive Steering Committee

CDSS Chief Deputy Director, Pat Leary*
CDSS Information Systems Division Deputy Director, Brian Wong*
CDSS Administration Division Deputy Director, Kären Dickerson*
CWDA Senior Fiscal and Policy Analyst, Eileen Cubanski*

CDSS CECRIS Project Director, Sue Quichocho
CDSS Accounting and Fiscal Systems Chief, Addie Aguirre
CDSS Project Oversight & Strategic Technology Branch Chief, Nola Niegel
CDSS Innovative Technology Solutions Branch Chief, Al Som-Anya
CDSS Operations Branch Chief, Brian Wong (acting)
CHHSA Deputy Agency Information Officer, Adam Dondro
CWDA Information Technology Associate, Christiana Smith
*voting members

CECRIS Management Team

CDSS Information Systems Division Deputy Director, Brian Wong
CDSS Administration Division Deputy Director, Kären Dickerson
CDSS CECRIS Project Director, Sue Quichocho
CDSS Accounting and Fiscal Systems Chief, Addie Aguirre
CDSS Project Oversight & Strategic Technology Branch Chief, Nola Niegel
CDSS Innovative Technology Solutions Branch Chief, Al Som-Anya
CDSS Operations Branch Chief, Brian Wong (acting)

IV&V Vendor — Project Sponsor Kären Dickerson — IPOC Vendor

Project Director Sue Quichocho

Project Support 1 PY — Project Manager Steven Li

Contract/ Procurement Manager .5 PY

Organizational Change Management Vendor

Financial Systems Auditor Vendor

Help Desk 1 PY

Trainer Vendor

Scrum Master 1 PY

Product Owner 1 PY

Business Systems Analyst Vendor

Quality Assurance

Development Team

Business Analyst Lead 1 PY

Business Analyst 1 PY

Business Analyst 1 PY

Business Analyst 1 PY

County CEC SME TBD

Selected County Users/SMEs

Selected State Users/SMEs

Legend: Brown Box: Core Team

Roles and Responsibilities

All Project Team Members Responsibilities

These responsibilities apply to everyone on the Project Team:

- Identifies risks and issues to the Risk & Issue Manager or his/her Core Team Lead if applicable
- Performs assigned tasks, and provide status updates
- Participates in project planning when appropriate
- Contributes to project schedule building and updates
- Attends project meetings and contribute to the discussions when appropriate
- Provides prompt updates to the Project Manager or his/her Core Team Lead whenever their work schedule changes, i.e. vacation, sick time.
- Provides input into project risk and issue efforts and resolves as assigned.
- Reviews and provides input to project plans, Special Project Reports, and Advanced Planning Documents

Core Team Members

The Core Team members are owners of their respective areas of the Project. In addition to the responsibilities for all Project Team members listed above, they:

- Provide status update to the Project Manager on the areas they own.
- Collaborate with the Project Manager in all applicable project planning and execution activities, i.e. schedule update, risk and issues analysis and mitigation.
- Coordinate activities of their team members, as applicable.
- Align their team tasks with overall project direction, and coordinate member activities.
- Review vendor deliverables and invoices as appropriate.

Role	Responsibility
Executive Steering Committee	• Endorses and communicates overall project direction. • Sets priorities and direction of project efforts. • Provides scope, schedule, and budgetary controls. • Provides mitigation strategy to escalated project risks. • Provides resolution to escalated project issues. • Provides decisions on major change requests involving scope, schedule, or delivery commitment. • Provides a network for open communications between Project Team and stakeholders. • Manages enterprise resources and infrastructure to sustain the Project. • Provides highest level decision-making authority. • Approves changes to project scope.

Project Sponsor – CDSS Administration Division Deputy Director	• Provides sponsorship and support of the Project to executive management. • Represents the Project to executive management. • Promotes the goals and objectives of the Project to executive management. • Resolves business issues and removes project obstacles. • Approves significant changes to the scope, budget and schedule. • Approves key deliverables. • Ensures project funding and resources. • Participates actively and visibly throughout the project. • Builds a coalition of sponsorship with peers and managers. • Communicates to employees and managers.
Project Director	• Directly oversees the performance and operations of the CECRIS project. • Oversight of the design, development and implementation for CECRIS and evaluates and provides direction for modifications to program policies and procedures. • Oversight of the development of the business and system requirements and processes, understanding and recommending program policy and system improvements. • Monitors contractual performance and scope requirements, financial provisions and management information requirements. • Responsible for ensuring that the CECRIS activities receive the highest level of support, commitment and oversight. • Oversight of State budgetary and contractual process related to the CECRIS project which supports the 58 counties in California. • Directly oversees Stakeholder Management and Communication for CECRIS.
Project Manager	*Initiation* • Updates project charter. • Conducts project kick-off meeting. *Planning* • Updates the Project Management Plans. • Updates the Governance Plan. • Updates the Steering Committee Charter. • Coordinates and facilitates project planning activities among the Project Team. • Identifies Core Team members. • Develops and baselines the project schedule. • Collaborates with the Product Owner to incorporate the Product Roadmap into the project schedule. *Executing and Monitoring* • Participates in procurements for system development and other vendors.

	• Monitors and manages project budget. • Aligns the project schedule with the features and priorities in the product roadmap. • Monitors and manages project schedule. • Provides direction to all human resources matrixed to the project. • Serves as central point of formal communication and coordination among all non-business stakeholders for project level information such as schedule and budget. • Creation and submission of formal project level documentations needed to keep project in compliance with state regulations such as SPRs and APDs. • Work with Scrum Master on removing the impediments at an organization level. • Create and maintain the risk and issue log. *Closing* • Provide project status reports such as the Post Implementation Evaluation Report • Transitions project to DevOps. • Archives project file. • Facilitates the evaluation of the project. • Conducts lessons learned.
Project Management Support	• Provide risks and issues management such as: Assists project management with risks, issues, and other project management disciplines by providing both required information and recommendations for action by management. • Assists with maintaining project schedule. • Assists with maintaining project plans. • Assists in the preparation of reports and presentations on project activities and status for various stakeholders. • Participates in the development of needed project approval documents. • Participates in the review and acceptance of contract deliverables. • Creates and maintains the CECRIS SharePoint site to store project artifacts. • Monitors and tracks project budget. • Assists with project funding documents.
Scrum Master *(Core Team Member)*	• Conducts all sprint ceremonies and follows up on action items. • Guides the team on the implementation of Agile principles and practices • Removes or escalates impediments as appropriate. • Facilitates discussion, decision making, and conflict resolution. • Supports the Product Owner in grooming and maintaining the Product Backlog.

	- Provides support to the team using a servant leadership style whenever possible and leading by example. - Builds a trusting and safe environment where issues can be raised with an emphasis on problem solving. - Guides the team to maximize self-organization. - Helps team or individuals to clarify project goals and determine action steps to achieve them. - Works with the Product Owner and Project Manager to create/update the product release timeline. - Creates and maintains DevOps plans.
Product Owner *(Core Team Member)*	*Product Scope* - Works with leadership team in creating the initial scope of the Project. - Shares the vision of the CECRIS with the development team and other stakeholders. - Owns and manages product scope. - Owns and updates Product Roadmap. - Defines features that break down the Product Roadmap into smaller releases based on the business value created for SME's and county users. *Communication* - Serves as central point of communication and coordination among all business stakeholders (state users, counties users, CWDA) for product level information such as the Product Roadmap, product release plan, and changes to product scope. - Ensures Product Roadmap is visible and transparent to all. *CECRIS Development* - Manages the Product Backlog by: - Prioritizing the features/ user stories for the Scrum Team. - Approving user stories when they meet the acceptance criteria or providing feedback to dev team if they do not meet the criteria. - Ensuring that usability of application meets end user's business needs. - Provides direction to the Business Team to: - Collaborate with appropriate vendors, state and county SMEs, and the Business Team to gather business requirements. - Create/refine user stories and acceptance criteria for each requirement/user story for the Product Backlog.

	○ Provide clarification on user stories or business requirements during sprints as needed by the Development Team. • Participates in Scrum ceremonies such as planning, grooming, and retrospective meetings to provide functionality and prioritization clarification. • Hosts stakeholder-facing Scrum ceremonies (as the face of the Project to the business) including sprint reviews and demos, providing an overview to stakeholders of the focus of the sprint or the content of the demo. • Works closely with the Business Systems Analyst to conduct analysis of business processes and work with business subject matter experts to gather requirements and/or user stories from state and county SMEs. • Collaborates with development team, Scrum Master, and Project Manager for frequent delivery effort of business value. • Hosts UAT sessions to provide participants with an overview of the business functionality to be tested. • Triages new requirements and requests for enhancements • Leads, coordinates, and facilitate user training for both state and county users.
Business Systems Analyst	• Consults with product owner and users to determine the needs of CECRIS. • Advises Product Owner in breaking down the overall product into manageable features. • Advises Product Owner in prioritizing features and stories to optimize business value delivery. • Provides guidance and direction to Product Owner/business team during creating/updating of the product release timeline. • Collaborates with Product Owner/Business Team in maintaining a healthy Product Backlog for team to work on during sprints. • Provides guidance and direction to Product Owner and Business Team on providing clear acceptance criteria for stories/features. • Provides guidance and direction to the Product Owner and Business Team in converting functional requirements to prep user stories for the Development Team. • Guides the Product Owner in following the Independent, Negotiable, Valuable, Estimable, Small and Testable model to develop user stories. • Actively participates in backlog grooming sessions to ensure the development team have adequate information to execute user stories.

	• Participates in Scrum Planning and review ceremonies to ensure stories are built to meet acceptance criteria. • Collaborates with Scrum Team to design a system to meet the business goals. • Assists the Product Owner and the Business Team to translate business rules into user stories. • Provides clarification of user stories to the Scrum Team.
Business Analysts Team Lead	• Supports Product Owner with communication and coordination among all business stakeholders (state users, counties users, CWDA) for product level information such as roadmap, product release plan. • Participates in UAT sessions. • Participates in the development and review of user training material. • Triages new requirements and requests for enhancements. • Provides Product Owner feedback and recommendations for process improvement and quality assurance of Business Team activities. • Coordinates business analysts and SME activities and communication. • Attends meetings and participates in OCM and FSA vendor's activities as needed • Attends Scrum product grooming, sprint retrospective, and Joint Application Validation (JAV) sessions with development, technical, and testing teams as needed. • Attends meetings with CDSS staff, management, SMEs, and stakeholders. • Works closely with the Business Systems Analyst to conduct analysis of business processes and work with business subject matter experts to gather requirements and/or user stories from state and county SMEs.

Business Analysts	• Supports the Product Owner to:
	   o Backup Product Owner as needed.
	   o Provide clarification on stories during the sprint meetings.
	   o Assist with product demonstrations to collect SME input and refine development of product as it is developed.
	   o Maintain the Product Backlog and run queries and reports.
	• Works closely with the Business Systems Analyst to conduct analysis of business processes and work with business subject matter experts to gather requirements and/or user stories from state and county SMEs.
	• Assists with planning and conducting monthly and quarterly state and county SME conference calls and meetings.
	• Maintains county SME communication and correspondence.
	• Participates in the development and review of user training material.
	• Participates in UAT sessions

	• Triages new requirements and enhancements. • Participates in the update and review of content to the CECRIS website. • Monitors and responds to inquiries from the CECRISINFO mailbox.
Scrum Team	• Creates conceptual design documents and software requirement specifications. • Reviews designs and builds/customizes the system meets the business requirements provided by the Product Owner. • Identifies tool(s) needed to build, test (both manual and automated), and validate software built during the project. • Provides comprehensive and detailed tasks in the backlog for user stories assigned to each sprint. • Provides daily status update to the Scrum Team. • Develops technical documentation needed. • Reviews user story for its readiness before pulling into sprint as per team's Definition of Ready. • Reviews user story to demonstrate that it meets acceptance criteria with Product Owner during sprint review. • Creates test scripts, test plans that test approved user stories to meet the defined acceptance criteria. • Prepares and identifies test data requirements. • Executes test scripts for applicable test types within the sprint. • Verifies and validates actual test results against expected results, reports testing progress, and results. • Ensures the product meets the quality guidelines of the organization. • Retests defect fixes. • Leverages an automated test tool to create efficiencies in test execution. • Provides functional feedback based on user needs and constraints. • Supports the Product Owner and business in the coordination of UAT through the software development life cycle process. • Works with end-users to ensure user acceptance, and that bugs and fixes are reported and retested. • Adheres to the defect resolution plan/ resolution process used throughout the project lifecycle. • Builds and configures environments. • Estimates of complexity and duration of user stories. *Technical Team Lead:* • Analyzes Information Technology (IT) infrastructure hardware/software necessary for the CECRIS solution. • Works closely with the SV to monitor the implementation of solution designs.

	• Responsible for oversight of design and documentation of IT solutions. • Represents and participates in product roadmap meetings with Project Manager, Product Owner and provides feedback from dev team perspective. • Assesses existing IT support and works with development teams to define IT requirements. *Quality Assurance Lead:* • Aligns testing practices and process to achieve the roadmap identified for the project and business organization. • Establishes testing standards, procedures, processes, metrics, and reportability in alignment with industry practices. • Identifies the scope of testing for each release based upon the accepted requirements. • Develops master test plan and strategy to serve as the testing roadmap for the life of the project. • Develops release test plans for each release milestone. • Ensures delivery of test case to requirements traceability matrix. • Represents and participates in product roadmap meetings with Project Manager, Product Owner and provides feedback from development team perspective.
Organizational Change Management	• Develops expert understanding of business processes involved. • Performs business process re-engineering to develop the business To-Be process flows. • Applies gap analysis techniques to define the nature and extent of needed change and communicates the business case to decision makers. • Applies concepts of process and organizational improvement to assist customer teams responsible for developing comprehensive business designs in specific functional areas. • Identifies how the organization will work in the new automated environment. • Designs and creates end-user tools, such as classroom materials and user manuals. • Designs and conducts information-gathering techniques, including structured interviews, facilitated workshops and surveys.
Financial Systems Auditor	• Prevents fraud by providing assurance of the system's fiscal integrity, freedom from potential financial risks, and compliance with Generally Accepted Government Auditing Standards (GAGAS), Generally Accepted Accounting Principles (GAAP) and Title 2 of CFR Part 225.

	• Ensures the CECRIS solution complies with federal requirements that specify the guidelines for state and local cost principles. • Provides business requirements to ensure system fiscal integrity and compliance with applicable standards. • Validates the system's support of the fiscal integrity requirements. • Participates in team meetings (Business & IT), conducts interviews as required. • Develops and executes Compliance Verification Plan and produces formal compliance reports for management review and approval to ensure best practices are followed. • Provides weekly status reports to the Project Manager and Business Team Lead. • Assesses the completeness and appropriateness of the business operational and policies and procedures that are developed.
Project Oversight: Independent Verification and Validation	• Provides independent review and analysis of the Project. • Validates interim deliverables and ensures the final system satisfies requirements and solves the right problems, including activities such as independent traceability analysis and reporting of results. • Validates adherence to documented technical standards, methodologies, practices, and conventions and provides recommendations for improvements as needed. • Validates compliance with requirements for all project activities. • Evaluates and reports on adherence to scope (functionality required by the business), budget, schedule, and quality baselines. • Assesses and reports on adherence to system development best practices. • Identifies and quantifies technical risks and issues including the development of sound recommendations based on industry best practices to reduce or eliminate the risks and issues.
Project Oversight: Independent Project Oversight Consultant	• Executes the state's Independent Project Oversight Framework. • Provides independent assessment of project management deliverables, processes, and products. • Provides objective assessment of procurement or technical deliverables, products and processes including reviews, inspections, walkthroughs, etc. • Provides multi-level independent reports on the Project to the Department of Technology, CDSS executives and CIO through status reports. • Provides updates and feedback to Project Team members and stakeholders through reports on deliverables and process reviews.

	• Helps detect risks and variations that may occur during the Project and recommends corrective action.
Procurement/Contract Manager	• Coordinates procurement and contract management activities within CDSS and externally with all pertinent organizations such as Statewide Technology Procurement Division and OSI. • Supports the Project Manager by outlining key deliverables, delivery dates, milestones, costs, and efforts related to contracts and procurement, and provides updates. • Provides status update to the Project Manager. • Develops or coordinates procurement artifacts, such as SOW and RFO packages. • Tracks vendor deliverables and approvals. • Tracks contract budget and expenses.
Trainer	• Serves as lead trainer for initial tester and end user system training with assistance by Development and/or Testing teams • Produces end user training plan. • Develops and delivers both state and county end user training programs. • Works with the development team to specify requirements for management of the training environment. • Designs and creates end-user tools, such as classroom materials and user manuals, and coordinates their approvals. • Collaborates with other vendors as needed.

4.4   Project Priorities

There are no proposed changes to the project priorities.

4.5   Project Plan

4.5.1   Project Scope

The project primary objectives have not changed from SPR 2 in terms of seeking an end-to-end system to replace the CA 800 and CEC toolsets with one application.

The CECRIS project will follow the following Agile principles that relate the most to scope management:

- Satisfy the customer through early and continuous delivery of valuable software. This is our highest priority.

- Welcome changing requirements, even late in development. Agile processes harness change for the customer's benefit.

- Embrace simplicity — the art of maximizing the amount of work not done is essential.

Since CECRIS has adopted a hybrid project management/development approach, incorporating elements of Agile methodology and the traditional Waterfall model, there are two types of scope for the project. At the highest level is the overall project scope represented by the product roadmap, and the lower level product scope of features, sprints, and releases represented by the Product Backlog. Each item in the backlog is assigned a priority, and the project will work on the items with the highest priority first, thus ensuring the most critical business functionalities get the attention up front.

This approach is also planned to carry over to the Development Operations phase after the project is complete.

4.5.2   Project Assumptions

The major assumptions under which this project is being executed have not changed since the approval of SPR 2. The following additional assumptions have been identified.

- If the automated testing tool turns out to be unsuitable for CECRIS, the project will be provided sufficient testing resources to conduct manual testing to meet the project timeline.

- The solution development is first focused on Minimum Viable Product (MVP)/must-haves features and functionality.

- The project schedule is a best-estimate at any given time and will be progressively elaborated as the project progresses.

- If no qualified state resource is available, the needed contractor resources can be procured.

- All needed contracts services and approval documents are executed on time.

- The completed system will fully meet the Accessibility requirements both for the state and county users.

4.5.3   Project Phasing

The project is currently in the execution phase. Phasing for the CECRIS project is aligned with the CA-PMM best practices as well as the Agile framework of continuous and iterative development the table below illustrates the phases and deliverables associated with the CA-PMM methodology. Completed deliverables are marked when applicable.

PROJECT PHASES/DELIVERABLES

Project Phase	Project Deliverables
Initiation	• Project Charter – completed • Approved SPR 2 – completed • Approved IAPD – completed
Planning	• Project Management Plans – completed • Baselined Project Schedule – completed
Executing	• Develop RFO For Vendors – completed • Release RFO For Vendors – completed • Procure Organizational Change Management Vendor – completed • Procure Solution Vendor – completed • Procure Financial Systems Auditor – completed

	• Procure IV&V Vendor – completed • Submit Service Request for IPOC Services – completed • Define To-be End-to-End Process – completed • Requirements Validation – In progress • System Design – In Progress • Release 1 CEC PRF – Completed • Release 2 Assistance Claim Upload • Release 3 Assistance Claim Allocations, Build Claim Template, Prepare and Submit Claims, Audit/Appeal and Administrative and Assistance Claims Federal Reporting • Release 4 Administrative Claim Allocations, Build Claim Template, Prepare and Submit Claims, Audit/Appeal • Release 5 Administrative and Assistance Claims Close Outs, Payments Advances, Payments and Assistance Claim PRF • Pilot • Production
Closeout	• Lessons Learned • Project Artifacts Archival

4.5.5   Project Schedule

The project MS Project schedule was revised to reflect all changes in SPR 3 and is included as Appendix A to this document.

4.6   Project Monitoring and Oversight

The CDSS continues to follow the CA-PMM standard requirements, status tracking, and reporting requirements for project deliverables, schedule, and budget. The CECRIS project status will continue to be tracked and reported on a regular and on-going basis throughout the lifecycle of the project. Core team members have been providing either weekly or bi-weekly schedule updates to the Project Manager. The updated copy of the schedule has been placed on the project SharePoint site monthly. The project schedule is maintained in MS Project and all risks, issues, and action items are maintained in the project SharePoint site.

In addition, IV&V and IPOC have been onboard since project resumption in February 2016 to provide oversight.

The Project Manager provides periodic status reports during regularly scheduled project meetings and reports such as those shown in the table below:

PROJECT MEETINGS

The CECRIS project will engage in various types of formal communication. The general communication types and their purpose are described below.

TYPE OF INFORMATION	PREPARED BY/ CHAIRED BY	DISTRIBUTION LIST/ PARTICIPANTS	PURPOSE OF COMMUNICATION	FREQUENCY	TRANSMITTAL METHOD
Project Team Status Meeting	Project Manager	Project Team, including state staff and vendor staff	Project status concerns from an operations perspective	Weekly	Oral presentation, discussions
Oversight Sync Up Meeting	Project Manager	Project Director, IPOC, IV&V	Project status concerns from an oversight perspective	Bi-weekly	Oral presentation, discussions
Management Team Status Meeting	Project Manager	CECRIS Management Team, Project Director, OCM and FSA vendor, IPOC, IV&V	Status of: • Major activities • Schedule • Issues or Risks • Action Items • Future or planned activities • Budget	Monthly	Oral presentation, discussions
IV&V Report	IV&V Staff	CECRIS Management Team, Project Director, Project Manager, Core Team	Project status concerns	Monthly	Written
IPOC Report	IPOC Staff	CECRIS Management Team, Project Director, Project Manager, Core Team	Project status concerns	Monthly	Written
CHHS Portfolio Report	Project Manager	CHHS Portfolio Manager	Project status	Monthly	Written
Executive Steering Committee Meeting	Project Manager	Director's Office, CWDA, CHHSA, CECRIS Management Team, Project Director	Status of: • Major activities • Schedule • Issues or Risks • Action Items • Future or planned activities • Budget	Quarterly	Oral presentation, discussions
CDT Status Update Reports	Project Manager	IPOC, Executive Steering Committee, CECRIS Management Team, Project Director	High level status of: • Major activities • Schedule • Issues or Risks • Action Items • Future or planned activities • Budget	Monthly	Written
County SME Status Meeting	Product Owner	Designated project county SMEs, Project Director, Project Team	Overall high level project status concerns	Quarterly	Oral presentation, discussions

TYPE OF INFORMATION	PREPARED BY/ CHAIRED BY	DISTRIBUTION LIST/ PARTICIPANTS	PURPOSE OF COMMUNICATION	FREQUENCY	TRANSMITTAL METHOD
State SME and Manager Project Update	Product Owner	Designated project state SMEs and managers, Project Director, Project Team	Project status and upcoming activities	Monthly	Oral presentation, discussions
Project Stakeholder Meeting	Project Manager	All project stakeholders and team members	Project status	Quarterly	Oral presentation, discussions
Federal Annual Planning Document	Project Manager	Federal ACF, CECRIS Management Team, Project Director	High level status of: • Major activities • Schedule • Issues or Risks • Action Items • Future or planned activities • Budget	Annual	Written

The table below shows additional recurring CECRIS project meetings per Agile methodology.

AGILE SCRUM

Meeting	Attendees	Frequency
Stand-up	Scrum Team	Daily
Sprint planning	Scrum Team	Bi-weekly
Sprint retrospective	Scrum Team	Bi-weekly
Sprint demo	Scrum Team, Project Team, county and state SMEs	Bi-weekly
Release planning	Scrum Team	Quarterly

4.7   Project Quality

The CECRIS project has adopted the Agile Scrum approach to testing. Testing is an integral part of the process, and a full multitude of tests, including but not limited to:

- Unit Test
- Smoke Test
- Functional Test
- Regression Testing
- Accessibility Testing
- User Acceptance Test
- Performance Test
- Load Test
- Security Testing

As discussed in the earlier section of this document, CECRIS has boosted the testing resources. An enterprise automated testing tool has been procured, and the project is in the process of adapting the tool. For details, please refer to the project test plan.

In addition to the test plan, the project also has IV&V project oversight to help to ensure the business and technical objectives/requirements of the project are met.

The Agile approach enables the project to:

- Address quality both reactively, through testing, and proactively, encouraging practices to set the stage for quality work. Examples of proactive quality approaches include face-to-face communication, pair programming, and established coding standards.

- Provide prompt bug fixes.

- Incorporate needed testing into every sprint.

- Incrementally deploy functioning components and value to end users early and continuously to receive their feedback.

4.9   Authorization Required

There is no change to the authorization required as outlined in SPR 2.

5.0   Updated Risk Management Plan

The project is following the risk management processes identified in CA-PMM. The Risk Management Plan has been developed and will be maintained throughout the life of the project. The scope of the plan pertains to the CECRIS project and its internal and external risks. The plan includes the processes that will be used to identify risks including the criteria used for risk probability, impact and severity determination, risk response, and risk monitoring.

5.1   Risk Register

The CDSS utilizes SharePoint as the tracking tool for risk collection, assessment and management related to the CECRIS project. The updated Risk Register, generated from the central CECRIS SharePoint repository, is included as Appendix B and shown at a high level in the table below.

RISK REGISTER

ID No.	Risk	Probability	Potential Impact	Timeframe	Risk Level
1	If new, essential state or federal system requirements are identified, this could cause CECRIS development or implementation delays.	1 (unlikely or highly unlikely)	1 (less than 5% change)	1.0 (Within the next six months)	(1) Low
7	Annual funding approval processes, versus multiple year funding approval, could put the project at risk of termination	1 (unlikely or highly unlikely)	5 (25% or greater change)	1.0 (Within the next six months)	(5) Low

	before completion, should future funds not be available.				
11	From early experience, CECRIS does not respond to increased load as expected.	2 (Somewhat doubtful)	5 (25% or greater change)	0.33 (Over a year from now)	(3) Low
12	Some security vulnerabilities have been discovered in technology components, requiring time and attention by the development team (and Independent System Operator) that could be spent on application development.	3 (better than even chance)	3 (11-15% change)	0.33 (Over a year from now)	(3) Low
14	Enterprise information technology support may reach capacity, and not be able to accommodate project needs.	1 (unlikely or highly unlikely)	5 (25% or greater change)	0.33 (Over a year from now)	(2) Low
17	Lack of access to business analysis expertise could result in inadequate and delayed documentation of system requirements, negatively impacting the development schedule.	2 (Somewhat doubtful)	4 (16-24% change)	1.0 (Within the next six months)	(8) Low
22	Several project team members are new to the Agile development approach delaying the development schedule.	4 (Likely or probable)	4 (16-24% change)	0.33 (Over a year from now)	(5) Low
23	Project staff turnover during the project may cause delays in the schedule due to gaps in staffing and needed onboarding time.	5 (Highly likely or almost certain)	3 (11-15% change)	.66 (Six months to a year from now)	(10) Medium
29	Longer than anticipated time to ramp up to desired code development velocity could cause overall project delays.	2 (Somewhat doubtful)	5 (25% or greater change)	1.0 (Within the next six months)	(10) Medium

31	Delayed implementation of automated testing, and challenges with inadequate test plans may cause project delays.	3 (better than even chance)	4 (16-24% change)	1.0 (Within the next six months)	(12) Medium
34	CDSS has other larger and higher risk systems currently in development. This could result in delays in CECRIS Project approvals and decisions, causing delays in the overall schedule.	3 (better than even chance)	4 (16-24% change)	1.0 (Within the next six months)	(12) Medium
35	Ineffective execution of Governance process may result in decisions being made at a less than optimal level, causing increased workload on the Executive Steering Committee.	5 (Highly likely or almost certain)	5 (25% or greater change)	1.0 (Within the next six months)	(25) High
39	One of the application development tools (ADX Studio) is open source and unsupported, requiring the development team to address any technical issues, some of which they may not be able to resolve.	2 (Somewhat doubtful)	5 (25% or greater change)	1.0 (Within the next six months)	(10) Medium
43	County expertise is needed to fully development some features of the CECRIS application. Delays in identifying and utilizing this expertise could result in delayed application development and production release.	5 (Highly likely or almost certain)	4 (16-24% change)	1.0 (Within the next six months)	(20) High
46	Project plans (e.g., Change Management) do not all reflect Agile processes and require updating to prevent delay in SPR 3 approval.	2 (Somewhat doubtful)	5 (25% or greater change)	1.0 (Within the next six months)	(10) Medium

47	Uncertainty in the project schedule may not allow for sufficient notice to needed subject matter experts, preventing or delaying their participation. This could result in project delay.	2 (Somewhat doubtful)	5 (25% or greater change)	1.0 (Within the next six months)	(10) Medium
55	As more traditional "Waterfall" characteristics are added to the project, the approach becomes an Agile/Waterfall hybrid. As such, best practices and applicable metrics become less available, reducing the ability to objectively assess the project and potentially delay timely identification of project issues.	4 (Likely or probable)	5 (25% or greater change)	1.0 (Within the next six months)	(20) High

6.0   Attachment – Updated Economic Analysis Worksheets

The Maintenance and Operations (M&O) is shown in five fiscal quarters (Q2 2021-22 through Q2 2022-23) to reflect an appropriate system stabilization timeframe. The M&O begins in October 2021 and spans across two fiscal years. The annual M&O cost for CECRIS is $625,228, as shown below and detailed in the EAW - tab Proposed Alt Detail - under "Continuing IT Costs". Please note, in the EAW the Project Manager's salary and benefits are listed in the same five fiscal quarters to conduct project closeout activities, however, it is not calculated in the table below and is not part of the M&O cost.

CECRIS Annual M&O	FY 2021/22			FY 2022/23	Annual M & O Total
	Q2	Q3	Q4	Q1	
Continuing Staff	$145,250	$145,250	$145,250	$145,250	$581,000
Continuing Software	$11,057	$11,057	$11,057	$11,057	$44,228
				Total	$625,228

Please see the attached Economic Analysis Worksheet package.